

9/25/03

Sheet 1 of 1

LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY DOCKET NO.

6925-312-999

APPLICATION NO.

TBA 10/673, 125

APPLICANT

Toll et al

FILING DATE

Here with

GROUP

TBA 3691

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
NJ	A01	US-4,554,418	11-1985	Tog, Frank C.	340/825.27		
NJ	A02	US-5,193,055	03-1993	Roes, R. Todd	705/36		
NJ	A03	US-5,148,365	09-1992	Dezobio, Ron S.	705/36		
	A04						
	A05						
	A06						
	A07						
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	A09						
	A10						
	A11						
	A12						
	A13						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO
	B01						

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

NJ	C01	Fabozzi et al. "The Handbook of Fixed Income Securities" 1991 Business One Irwin Publishers (Third Edition) P 896-909.
	C02	
	C03	

EXAMINER

N. A. B.

DATE CONSIDERED

3/8/08

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) Sheet 11 of 13		Complete if Known Application Number: 10/673,125 Filing Date: September 26, 2003 First Named Inventor: Robert Stanley Tull, Jr. Art Unit: 3676 Examiner Name: N. Subramanian Attorney/Doctel Number: 040173CONCONCONCON	
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U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
X		US-4,346,442	09-24-1982	Musmanno	
		US-4,376,978	03-16-1983	Musmanno	
		US-4,722,050	01-20-1986	Roberts	
		US-4,736,294	04-05-1989	Gill et al.	
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FOREIGN PATENT DOCUMENTS					
Examiner Initials ¹	Cite No.	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ² -Number ³ -Kind Code ⁴ (if known)			

Examiner Signature: N. Sub	Date Considered: 3/5/08
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² Applicant's unique citation designation number (optional). ³ Applicant is to place a check mark here if English language translation is attached.

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Substitute for form 1449A/PTO <h2 style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="text-align: center;">(use as many sheets as necessary)</p>		<h3 style="text-align: center;">Complete if Known</h3> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td style="width: 50%;">10/673,125</td> </tr> <tr> <td>Filing Date</td> <td>September 28, 2003</td> </tr> <tr> <td>First Named Inventor</td> <td>Robert Stanley Tull, Jr.</td> </tr> <tr> <td>Art Unit</td> <td>3676-2671</td> </tr> <tr> <td>Examiner Name</td> <td>N. J. [Signature]</td> </tr> <tr> <td>Attorney Docket Number</td> <td>040173CONCONCONCON</td> </tr> </table>		Application Number	10/673,125	Filing Date	September 28, 2003	First Named Inventor	Robert Stanley Tull, Jr.	Art Unit	3676-2671	Examiner Name	N. J. [Signature]	Attorney Docket Number	040173CONCONCONCON
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Examiner Name	N. J. [Signature]														
Attorney Docket Number	040173CONCONCONCON														
Sheet	2	of	3												

NON PATENT LITERATURE DOCUMENTS			
Examiner's Initials	Cite No.	Indicate name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ¹
NJ		United States Patent Application No. 00/223,797, filed April 8, 1994. (Attorney Docket No. 040173).	
↑		"STANDARD & POOR'S DEPOSITARY RECEIPTS™," "Capture the Market" in One Investment," dual sided brochure, 1993, PDR Services Corporation, 4 pages.	
		MORGAN STANLEY, "OPALS - Questions and Answers - Optimized Portfolios as Listed Securities," 11-page brochure.	
		MORGAN STANLEY, "OPALS," 11-page brochure.	
		"Financial Instruments Protected," <i>New York Times</i> , December 30, 1989, 1 page.	
		JOHN B. DORFMAN, "Master Limited Partnerships Regain Fave Thanks to Special Treatment of Payouts," <i>The Wall Street Journal</i> , August 19, 1993, p. C1, 2 pages.	
		MICHAEL R. SEBIT, "U.S., Europe Take the Lead in Global Stock Investments," <i>The Wall Street Journal</i> , p. C1, 3 pages	
		MORGAN STANLEY, "OPALS - Composition - Tracking Performance - Pricing - List of Available Securities," dual sided brochure, 4 pages.	
		TRACY CORRIGAN, "Morgan Stanley plans issue of up to \$100n Opals," <i>The Financial Times Limited</i> , April 30, 1993, p. 27.	
↓		MORGAN STANLEY CAPITAL (CAYMAN ISLANDS) LIMITED, "Optimized Portfolios As Listed Securities (OPALS SM), Series No. 7, December 2, 1993, 4 pages.	
NJ		GROUP OF THIRTY, "Clearance and Settlement Systems in the World's Securities Markets," March 1999, 88 pages	

Examiner Signature	Date Considered
[Signature]	3/8/08

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Substitutes for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete If Known Application Number 10/673,125	
		Filing Date September 26, 2003	
		First Named Inventor Robert Stanley Tuli Jr.	
		Art Unit 3676-3601	
		Examiner Name N. Subramanian	
Sheet 3 of 3		Attorney Docket Number 040173CONCONCONCON	

NON PATENT LITERATURE DOCUMENTS			
Examiner's Office	Cite to	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published	T ¹
N.J.		MORGAN STANLEY CAPITAL (CAYMAN ISLANDS) LIMITED, "Optimised Portfolios As Listed Securities ("OPALS")", PROGRAMME, December 2, 1993, 27 pages.	
		"Opis System Overview (how we did it)," March 29, 1993, 9 pages.	
		"STANDARD & POOR'S DEPOSITARY RECEIPTS™, ("SPDRs")™, ("SPDR Total Series 1, A Unit Investment Trust," January 22, 1993, 50 pages.	
		"Bundled Index Depositary Securities (BIDS) Business Plan," February 1992, 52 pages.	
		International Search Report for International Application PCT/US 95/04222 dated July 17, 1995, 4 pages.	
		ERIC A. CHAPPINELLI, "Reinventing A Security: Arguments For A Public Interest Definition," <i>Washington & Lee Law Review</i> , Vol. 48, no. 3, Summer 1992, pp. 987-985.	
		PETER F. POPE and PRADEEP K. YADAV, "Discovering Errors in Tracking Error," <i>The Journal of Portfolio Management</i> , Winter 1994, pp.27-32.	
N.J.		RANDALL SMITH, "IRS Is Abandoning Challenge to Status of Popular LYONS," <i>The Wall Street Journal</i> , January 22, 1992, 1 page.	

Examiner Signature	Date Considered
N. Subramanian	3/8/04

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